

3713

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
112300-959

In Re Application Of: **William L. Hecht et al.**

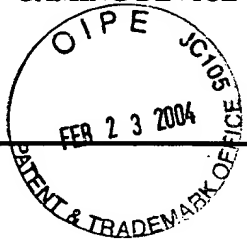
Serial No.  
09/978,607

Filing Date  
October 15, 2001

Examiner  
Yveste Gilberte Cherubin

Group Art Unit  
3713

Title: **GAMING DEVICE WITH SOUND RECORDING CHANGES ASSOCIATED WITH PLAYER INPUTS**



Address to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☒ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
112300-959

In Re Application: William L. Hecht et al.

Serial No.  
09/978,607

Filing Date  
October 15, 2001

Examiner  
Yveste Gilberte

Group Art Unit  
3713

**GAMING DEVICE WITH SOUND RECORDING CHANGES ASSOCIATED WITH PLAYER**



**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☒ A check in the amount of **\$180.00** is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **02-1818** as described below.
- ☐ Charge the amount of
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F:

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**


I certify that this document and fee is being deposited on **February 19, 2004** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Signature of Person Mailing Correspondence

Renee M. Street

\_\_\_\_\_  
Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

  
Signature

Dated: February 19, 2004

Adam H. Masia  
Reg. No. 35,602  
Bell, Boyd & Lloyd, LLC  
P.O. Box 1135  
Chicago, Illinois 60690-1135  
(312) 807-4284

CC:



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: William L. Hecht et al.  
Appl. No.: 09/978,607  
Conf. No.: 5117  
Filed: October 15, 2001  
Title: GAMING DEVICE WITH SOUND RECORDING CHANGES  
ASSOCIATED WITH PLAYER INPUTS  
Art Unit: 3713  
Examiner: Yveste Gilberte Cherubin  
Docket No.: 112300-959

Commissioner for Patents  
P.O. Box 1135  
Alexandria, VA 22313-1450

### SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 37 C.F.R. 1.97, and 37 C.F.R. 1.98, Applicants request that a citation and examination of the references cited below, and on the attached PTO-1449 form, copies of which are enclosed, be made during the course of examination of the above-identified application for United States patent.

#### U.S. PATENT DOCUMENTS

<u>Document No.</u>	<u>Date</u>	<u>Inventor</u>
3,831,172	August 20, 1974	Olliges, et al.
4,314,236	February 2, 1982	Mayer et al.
4,712,189	December 8, 1987	Mohri
4,732,386	March 22, 1988	Rayfiel
5,119,465	June 2, 1992	Jack
5,390,938	February 21, 1995	Takeya
5,472,197	December 5, 1995	Gwiasda, et al.
5,557,253	November 19, 1996	Blickstein
5,625,845	April 29, 1997	Allran
5,668,996	September 16, 1997	Radinsky
5,715,459	February 3, 1998	Celi
5,745,761	April 28, 1998	Celi
5,745,762	April 28, 1998	Celi

02/25/2004 SSANDARA 00000033 09978607

01 FC:1806 180.00 DP

<u>Document No.</u>	<u>Date</u>	<u>Inventor</u>
5,758,875	January 2, 1998	Giacalone, Jr.
5,778,231	July 7, 1998	Van Hoff
5,802,364	September 1, 1998	Senator
5,809,303	September 15, 1998	Senator
5,880,386	March 9, 1999	Wachi et al.
5,889,990	March 30, 1999	Coleman
5,911,071	June 8, 1999	Jordan
5,920,720	July 6, 1999	Toutonghi
5,923,880	July 13, 1999	Rose
5,930,509	July 27, 1999	Yates
5,937,193	August 10, 1999	Evoy
5,946,487	August 31, 1999	Dangelo
5,946,489	August 31, 1999	Yellin
5,964,846	October 12, 1999	Eisler
5,966,535	October 12, 1999	Benedikt
5,970,249	October 19, 1999	Holze
5,978,585	November 2, 1999	Crelier
5,999,731	December 7, 1999	Yellin
6,021,272	February 1, 2000	Cahill
6,021,273	February 1, 2000	Criesemer
6,026,238	February 15, 2000	Bond
6,029,000	February 22, 2000	Woosley
6,031,993	February 29, 2000	Andrews
6,035,120	March 7, 2000	Ravichandran
6,066,181	May 23, 2000	DeMaster
6,074,432	June 13, 2000	Guccione
6,075,940	June 13, 2000	Gosling
6,092,147	July 18, 2000	Levy
6,096,095	August 1, 2000	Halstead
6,106,393	August 22, 2000	Sunaga et al.
6,110,226	August 29, 2000	Bothner
6,131,191	October 10, 2000	Cierniak

<u>Document No.</u>	<u>Date</u>	<u>Inventor</u>
6,138,273	October 24, 2000	Sturges
6,141,794	October 31, 2000	Dice
6,328,648 B1	December 11, 2001	Walker et al.
6,390,923	May 21, 2002	Yoshitomi et al.
6,416,411 B1	July 9, 2002	Tsukahara
6,516,466	February 4, 2003	Jackson
6,537,152	March 25, 2003	Seelig et al.
6,554,703	April 29, 2003	Bussick et al.
6,599,195 B1	July 29, 2003	Araki et al.
6,638,169	October 28, 2003	Wilder et al.
20020077165 A1	June 20, 2002	Bansemmer et al.
20030064798 A1	April 3, 2003	Attila et al.
20030073490 A1	April 17, 2003	Hecht et al.

#### **FOREIGN PATENT DOCUMENTS**

<u>Document No.</u>	<u>Date</u>	<u>Country</u>
JP 411216221 A	August 10, 1999	Japan
JP 02000296209 A	October 24, 2000	Japan

#### **OTHER DOCUMENTS**

Article, "A Salute to Game Shows-The Price Is Right-Pricing Games-Three Strikes," p. 8 of 9, online, retrieved on August 16, 2000. Retrieved from the Internet: <<http://ben-schumin.simplenet.com/game-shows/shows/price-is-right/pricing-games-4.htm>>

Article, "Frankie & Annette's Beach Party Bally Gaming," published by Strictly Slots, December, 2001.

Article, "Megaman X's Soundcard History Museum," pp.1-5, retrieved on May 11, 2000 on Internet at [http://digitalparadise.cgocable.ca/MegaMan\\_X/Soundcards](http://digitalparadise.cgocable.ca/MegaMan_X/Soundcards).

Article, "Microprocessor Report," pp. 2, 12-17, published by Micro Design Resources on March 25, 1996

Article, "Monopoly Movers & Shakers Williams/WMS Gaming," published by Strictly Slots publication in July, 2000.

Brochure of Bally Gaming, Inc., "EVO HYBRID Frankie & Annette's Beach Party," published by Bally Gaming, Inc. in the year 2001 on or before December thereof.

Brochure of Bally Gaming, Inc., "Frankie & Annette's Beach Party (EVO Hybrid)," <http://www.ballygaming.com/gameroom/games.asp?gameID=664>, January 9, 2004.

Brochure of IGT, "Elephant King," [http://www.igt.com/games/new\\_games/elephant.html](http://www.igt.com/games/new_games/elephant.html), March 21, 2001

Brochure of IGT, "Leopard Spots, Double Diamond 2000, Little Green Men, Elephant King, I Dream of Jeannie," available in October, 1999.

Brochure of IGT, "Run for Your Money S-Plus Limited," published in the year 1998 on or before December thereof.

Brochure of IGT, "Top Dollar S-Plus Limited," published in the year 1998 on or before December thereof.

Brochure of IGT, "Totem Pole," written by IGT, available in the year 1997, on or before December thereof.

Brochure of IGT, "Wheel of Fortune," published in the year 1998 on or before December thereof.

Brochure of WMS Gaming Inc., "Meet the Next Generation of Monopoly Slot Machines from WMS Gaming!" published by Hasbro, Inc. in the year 1999 on or before December thereof.

Brochure of WMS Gaming Inc., "Monopoly Chairman of the Board," published by Hasbro, Inc. in the year 1999 on or before December thereof.

Brochure of WMS Gaming Inc., "Monopoly Once Around," published by Hasbro, Inc. in the year 1998 on or before December thereof.

Brochure of WMS Gaming Inc., "Monopoly Reel Estate," published by Hasbro, Inc. in the year 1998 on or before December thereof.

Brochure of WMS Gaming Inc., "Movers & Shakers," published by Hasbro, Inc. in the year 2000 on or before December thereof.

Chutes and Ladders CD-ROM Game, Hasbro Interactive, Inc., available in the year 1999 on or before December thereof.

Description of Lighting Features in Gaming Machines, written by IGT, available in the year 1999 on or before December thereof.

Description of Maximum Wager Sound and Bet Sounds in Gaming Devices written by IGT, available in the year 2000 on or before December thereof.

MIDI Media Adaptation Layer for IEEE-1394, published by the Association of Musical Electronics Industry in Tokyo, Japan and The MIDI Manufacturers Association in Los Angeles, California, November 30, 2000, pp. 1-17.

Press Release by Ian Fried of CNET News.com, "Microsoft Releases XP for Slot Machines," [file:///C:/WINDOW.../Microsoft releases XP for slot machines – Tech News – CNET.com.htm](file:///C:/WINDOW.../Microsoft%20releases%20XP%20for%20slot%20machines%20-%20Tech%20News%20-%20CNET.com.htm), November 28, 2001, pp. 1-2.

Press Release, "WMS Gaming's Monopoly Slot Machines Named 1998's Most Innovative Gaming Product At The American Gaming, Lodging and Leisure Summit," published by WMS Gaming Inc. on January 13, 1999

Screen Shot and Description by IGT of "Free Spins Bonus (Elephant King)" written by IGT, available in October, 1999.

Screen Shots of "Race Car Bonus Feature" written by IGT, available in the year 1998 on or before December thereof.

The Java™ Tutorial, "What Can Java Technology Do?"  
<http://java.sun.com/docs/books/tutorial/getStarted/i.../definition.htm>, October 16, 2000, pp. 1-2

The MIDI File Format,  
[http://crystal.capana.org.au/ghansper/midi\\_introduction/midi\\_file\\_format.html](http://crystal.capana.org.au/ghansper/midi_introduction/midi_file_format.html),  
December 28, 2001, pp.1-10

Applicants look forward to early and favorable consideration of this matter.

Respectfully submitted,

BELL, BOYD & LLOYD LLC

BY 

---

Adam H. Masia  
Reg. No.35,602  
P.O. Box 1135  
Chicago, Illinois 60690-1135  
Phone: (312) 807-4284

Date: February 19, 2004

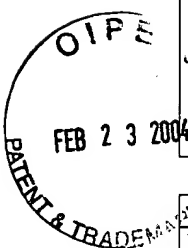


<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)  PTO Form 1449	Atty Docket No. 112300-959	Application No. 09/978,607
	Applicant William L. Hecht et al.	
	Filing Date October 15, 2001	Group 3713

U.S. PATENT DOCUMENTS						
Examiner's Initials	Document Number	Publication Date	Inventor	Class	Subclass	Filing Date If Appropriate
	3,831,172	August 20, 1974	Olliges, et al.			
	4,314,236	February 2, 1982	Mayer, et al.			
	4,712,189	December 8, 1987	Mohri			
	4,732,386	March 22, 1988	Rayfiel			
	5,119,465	June 2, 1992	Jack			
	5,390,938	February 21, 1995	Takeya			
	5,472,197	December 5, 1995	Gwiasda, et al.			
	5,557,253	November 19, 1996	Blickstein			
	5,625,845	April 29, 1997	Allran			
	5,668,996	September 16, 1997	Radinsky			
	5,715,459	February 3, 1998	Celi			
	5,745,761	April 28, 1998	Celi			
	5,745,762	April 28, 1998	Celi			
	5,758,875	January 2, 1998	Giacalone, Jr.			
	5,778,231	July 7, 1998	Van Hoff			
	5,802,364	September 1, 1998	Senator			
	5,809,303	September 15, 1998	Senator			
	5,880,386	March 9, 1999	Wachi, et al.			
	5,889,990	March 30, 1999	Coleman			
	5,911,071	June 8, 1999	Jordan			
	5,920,720	July 6, 1999	Toutonghi			
	5,923,880	July 13, 1999	Rose			
	5,930,509	July 27, 1999	Yates			
	5,937,193	August 10, 1999	Evoy			
	5,946,487	August 31, 1999	Dangelo			
	5,946,489	August 31, 1999	Yellin			
	5,964,846	October 12, 1999	Eisler			
	5,966,535	October 12, 1999	Benedikt			

Examiner:	Date Considered:
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	





<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)  PTO Form 1449	Atty Docket No. 112300-959	Application No. 09/978,607
	Applicant William L. Hecht et al.	
	Filing Date October 15, 2001	Group 3713

U.S. PATENT DOCUMENTS						
Examiner's Initials	Document Number	Publication Date	Inventor	Class	Subclass	Filing Date If Appropriate
	5,970,249	October 19, 1999	Holze			
	5,978,585	November 2, 1999	Crelier			
	5,999,731	December 7, 1999	Yellin			
	6,021,272	February 1, 2000	Cahill			
	6,021,273	February 1, 2000	Criesemer			
	6,026,238	February 15, 2000	Bond			
	6,029,000	February 22, 2000	Woosley			
	6,031,993	February 29, 2000	Andrews			
	6,035,120	March 7, 2000	Ravichandran			
	6,066,181	May 23, 2000	DeMaster			
	6,074,432	June 13, 2000	Guccione			
	6,075,940	June 13, 2000	Gosling			
	6,092,147	July 18, 2000	Levy			
	6,096,095	August 1, 2000	Halstead			
	6,106,393	August 22, 2000	Sunaga, et al.			
	6,110,226	August 29, 2000	Bothner			
	6,138,273	October 24, 2000	Sturges			
	6,141,794	October 31, 2000	Dice			
	6,328,648 B1	December 11, 2001	Walker et al.			
	6,390,923	May 21, 2002	Yoshitomi, et al.			
	6,409,596	June 25, 2002	Hayashida et al.			
	6,416,411 B1	July 9, 2002	Tsukahara			
	6,516,466	February 4, 2003	Jackson			
	6,537,152	March 25, 2003	Seelig, et al.			
	6,554,703	April 29, 2003	Bussick, et al.			
	6,599,195 B1	July 29, 2003	Araki et al.			
	6,638,169	October 28, 2003	Wilder et al.			
	20020077165 A1	June 20, 2002	Bansemer, et al.			

Examiner:	Date Considered:
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)  PTO Form 1449	Atty Docket No. 112300-959	Application No. 09/978,607
	Applicant William L. Hecht et al.	
	Filing Date October 15, 2001	Group 3713

U.S. PATENT DOCUMENTS						
Examiner's Initials	Document Number	Publication Date	Inventor	Class	Subclass	Filing Date If Appropriate
	20030064798 A1	April 3, 2003	Attila, et al.			
	20030073490 A1	April 17, 2003	Hecht, et al.			

FOREIGN PATENT DOCUMENTS							
Examiner's Initials	Document Number	Publication Date	Country	Class	Subclass	Translation	
						Yes	No
	JP 411216221 A	August 10, 1999	Japan				
	JP 02000296209 A	October 24, 2000	Japan				

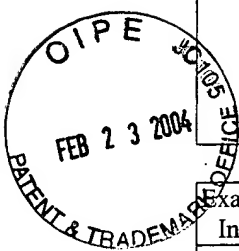
Examiner's Initials	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)
	Article, "A Salute to Game Shows-The Price Is Right-Pricing Games-Three Strikes," p. 8 of 9, online, retrieved on August 16, 2000. Retrieved from the Internet: < <a href="http://ben-schumin.simplenet.com/game-shows/shows/price-is-right/pricing-games-4.htm">http://ben-schumin.simplenet.com/game-shows/shows/price-is-right/pricing-games-4.htm</a> >
	Article, "Frankie & Annette's Beach Party Bally Gaming," published by Strictly Slots, December, 2001.
✓	Article, "Megaman X's Soundcard History Museum," pp.1-5, retrieved on May 11, 2000 on Internet at <a href="http://digitalparadise.cgocable.ca/MegaMan_X/Soundcards">http://digitalparadise.cgocable.ca/MegaMan_X/Soundcards</a> .
	Article, "Microprocessor Report," pp. 2, 12-17, published by Micro Design Resources on March 25, 1996
	Article, "Monopoly Movers & Shakers Williams/WMS Gaming," published by Strictly Slots publication in July, 2000.
↓	Brochure of Bally Gaming, Inc., "EVO HYBRID Frankie & Annette's Beach Party," published by Bally Gaming, Inc. in the year 2001 on or before December thereof.
	Brochure of Bally Gaming, Inc., "Frankie & Annette's Beach Party (EVO Hybrid)," <a href="http://www.ballygaming.com/gameroom/games.asp?gameID=664">http://www.ballygaming.com/gameroom/games.asp?gameID=664</a> , January 9, 2004.
	Brochure of IGT, "Elephant King," <a href="http://www.igt.com/games/new_games/elephant.html">http://www.igt.com/games/new_games/elephant.html</a> , March 21, 2001

Examiner:	Date Considered:
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)  PTO Form 1449	Atty Docket No. 112300-959	Application No. 09/978,607
	Applicant William L. Hecht et al.	
	Filing Date October 15, 2001	Group 3713

Examiner's Initials	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)
	Brochure of IGT, "Leopard Spots, Double Diamond 2000, Little Green Men, Elephant King, I Dream of Jeannie," available in October, 1999.
✓	Brochure of IGT, "Run for Your Money S-Plus Limited," published in the year 1998 on or before December thereof.
	Brochure of IGT, "Top Dollar S-Plus Limited," published in the year 1998 on or before December thereof.
	Brochure of IGT, "Totem Pole," written by IGT, available in the year 1997, on or before December thereof.
✓	Brochure of IGT, "Wheel of Fortune," published in the year 1998 on or before December thereof.
	Brochure of WMS Gaming Inc., "Meet the Next Generation of Monopoly Slot Machines from WMS Gaming!" published by Hasbro, Inc. in the year 1999 on or before December thereof.
	Brochure of WMS Gaming Inc., "Monopoly Chairman of the Board," published by Hasbro, Inc. in the year 1999 on or before December thereof.
	Brochure of WMS Gaming Inc., "Monopoly Once Around," published by Hasbro, Inc. in the year 1998 on or before December thereof.
	Brochure of WMS Gaming Inc., "Monopoly Reel Estate," published by Hasbro, Inc. in the year 1998 on or before December thereof.
	Brochure of WMS Gaming Inc., "Movers & Shakers," published by Hasbro, Inc. in the year 2000 on or before December thereof.
✓	Chutes and Ladders CD-ROM Game, Hasbro Interactive, Inc., available in the year 1999 on or before December thereof.
	Description of Lighting Features in Gaming Machines, written by IGT, available in the year 1999 on or before December thereof.
	Description of Maximum Wager Sound and Bet Sounds in Gaming Devices written by IGT, available in the year 2000 on or before December thereof.
	MIDI Media Adaptation Layer for IEEE-1394, published by the Association of Musical Electronics Industry in Tokyo, Japan and The MIDI Manufacturers Association in Los Angeles, California, November 30, 2000, pp. 1-17.
	Press Release by Ian Fried of CNET News.com, "Microsoft Releases XP for Slot Machines," file://C:WINDOW...Microsoft releases XP for slot machines - Tech News - CNET.com.htm., November 28, 2001, pp. 1-2.
✓	Press Release, "WMS Gaming's Monopoly Slot Machines Named 1998's Most Innovative Gaming Product At The American Gaming, Lodging and Leisure Summit," published by WMS Gaming Inc. on January 13, 1999
	Screen Shot and Description by IGT of "Free Spins Bonus (Elephant King)" written by IGT, available in October, 1999.

Examiner:	Date Considered:
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)  PTO Form 1449	Atty Docket No. 112300-959	Application No. 09/978,607
	Applicant William L. Hecht et al.	
	Filing Date October 15, 2001	Group 3713

Examiner's Initials	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)
	Screen Shots of "Race Car Bonus Feature" written by IGT, available in the year 1998 on or before December thereof.
	The Java™ Tutorial, "What Can Java Technology Do?" <a href="http://java.sun.com/docs/books/tutorial/getStarted/i.../definition.htm">http://java.sun.com/docs/books/tutorial/getStarted/i.../definition.htm</a> , October 16, 2000, pp. 1-2
	The MIDI File Format, <a href="http://crystal.capana.org.au/ghansper/midi_introduction/midi_file_format.html">http://crystal.capana.org.au/ghansper/midi_introduction/midi_file_format.html</a> , December 28, 2001, pp.1-10

Examiner:	Date Considered:
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	